

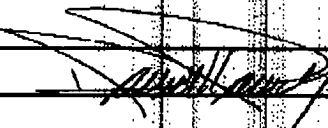
PTO/SB/21 (09-04)  
Approved for use through 07/31/2006. OMB 0651-0031  
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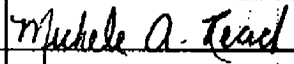
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|   |                      |                             |                  |
|---|----------------------|-----------------------------|------------------|
| <b>TRANSMITTAL FORM</b><br><br>(To be used for all correspondence after initial filing) | Application Number   | 06821,335                   |                  |
|   | Filing Date          | March 19, 2001              |                  |
|   | First Named Inventor | Jesse Wengel Christoffersen |                  |
|   | Art Unit             | 2872                        |                  |
|   | Examiner Name        | Jayez G. Asaf               |                  |
| Total Number of Pages in This Submission  | 26                   | Attorney Docket Number      | 01485.0002-US-01 |

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| ENCLOSURES (Check all that apply)   |  |  |
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| <input type="checkbox"/> Fee Attached                                     | <input type="checkbox"/> Licensing-related Papers  | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences                      |
| <input type="checkbox"/> Amendment/Reply                                  | <input type="checkbox"/> Petition  | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)                  |
| <input type="checkbox"/> After Final                                      | <input type="checkbox"/> Petition to Convert to a Provisional Application                | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)                        | <input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request                        | <input type="checkbox"/> Terminal Disclaimer   | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):                          |
| <input type="checkbox"/> Express Abandonment Request                      | <input type="checkbox"/> Request for Refund  | Request After Allowance for Examiner to Initial Reference on Form 1449 with Appendices A and B (25 pgs.) |
| <input type="checkbox"/> Information Disclosure Statement                 | <input type="checkbox"/> CD, Number of CD(s)   |  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)           | <input type="checkbox"/> Landscape Table on CD   |  |
| <input type="checkbox"/> Reply to Missing Parts/Incomplete Application    | Remarks  |  |
| <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 |  |  |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |   |                 |
|--|---|-----------------|
| Firm Name                                  | Altera Law Group, LLC   |                 |
| Signature                                  |  |                 |
| Printed name                               | David H. Carroll  |                 |
| Date                                       | February 8, 2005  | Reg. No. 29,903 |

| CERTIFICATE OF TRANSMISSION/MAILING   |   |
|---|---|
| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below: |   |
| Signature   |  |
| Typed or printed name   | Michele A. Read   |
| Date  | February 8, 2005  |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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APPLICATION SERIAL NO. 09/821,225

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christoffersen, et al. Examiner: Fayez G. Assaf  
Serial No.: 09/821335 Group Art Unit: 2872  
Filed: March 29, 2001 Docket No.: 01485.0002-US-01  
Title: STACKED PLANAR INTEGRATED OPTICS AND TOOL FOR  
FABRICATING SAME

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I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING FACSIMILE TRANSMITTED TO THE  
U.S. PATENT AND TRADEMARK OFFICE, FAX NO. (703) 872-9306 ON FEBRUARY 8, 2005.

MICHELE A. READ  
NAME OF PERSON SIGNING THIS CERTIFICATE

*Michele A. Read*  
SIGNATURE

REQUEST AFTER ALLOWANCE FOR EXAMINER TO INITIAL REFERENCE ON  
FORM 1449

Mail Stop Issue Fee  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants are in receipt of a Notice of Allowance and Fee(s) Due mailed December 27, 2004, but have not received notification that all of the references submitted to the examiner have been considered. Applicants respectfully request the examiner to indicate for the record consideration of the information furnished therein by initializing Document Number WO 97/00980 and to return a copy of the initialized Form 1449 to applicants.

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APPLICATION SERIAL NO. 09/821,225

PATENT

This request is being made upon the following facts. On September 20, 2001, applicants mailed an Information Disclosure Statement to the Office. The Office received this Information Disclosure Statement on September 25, 2001, as indicated by the U.S. Patent Office date stamp on the Form 1449 attached in Appendix A to this paper. Inasmuch as the Information Disclosure Statement was filed prior to the mailing date of the first Office action on the merits, the certification made at the time was proper.

The absence of the initialed document on the PTO Form 1449 is believed to be an oversight as this reference was submitted in a conforming manner, was not crossed off to indicate that it was not in conformance and not considered, and was not mentioned in subsequent Office actions or in the examiner's statement of reasons for allowance as not being in conformance and not having been considered. The examiner respectfully is requested to initial document WO 97/00980 for the record.


Copies of the relevant sheets of the Information Disclosure Statement as filed, including the reference, are enclosed as Appendix B for the examiner's convenience and to avoid any confusion.

The examiner respectfully is requested to telephone the undersigned if there is any question about the Request.

Respectfully submitted,  
Altera Law Group, LLC  
Customer No. 22865

Date: February 8, 2005

By:

  
\_\_\_\_\_  
David H. Carroll  
Reg. No. 29,903  
DHC/mar

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